

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:	Atty. Docket No.:	000479.00114
<b>Maureen Caudill et al.</b>		
Serial No.:	Divisional Application of	09/761,188, filed January 18, 2001
Filed:	Concurrently herewith	
For:	METHOD AND SYSTEM OF RANKING AND CLUSTERING FOR DOCUMENT INDEXING AND RETRIEVAL	

**INFORMATION DISCLOSURE STATEMENT**

Commissioner of Patents  
P.O. Box 1450  
Washington, D.C. 20231

Sir:

Pursuant to their duty of good faith and candor as set forth in 37 C.F.R. §§ 1.56(a), 1.97 and 1.98 *et seq.*, Applicants submit herewith various documents cited on the attached Forms PTO 1449. Applicants respectfully request that the Examiner consider and enter all the documents cited on the enclosed Forms PTO 1449 into the file of the above-identified application. Applicants also request an indication of the same by return of the Forms PTO 1449 being initialed and dated by the Examiner.

Copies of the cited references have already been submitted with Information Disclosure Statements filed with the U.S. Patent and Trademark Office for the parent application 09/761,188. Therefore, copies of the cited references are not being submitted with this Information Disclosure Statement.

A copy of International Search Report, which issued for PCT/US01/32636 on May 21, 2003, for a corresponding PCT application was submitted to the U.S. Patent and Trademark Office in an Information Disclosure Statement in parent application 09/761,188. The references cited on the International Search Report were noted: U.S. Patent Nos. 5,870,701 and 5,930,746. In addition, EP 0413132 and WO 0049517 were cited.

Additionally, a copy of International Search Report, which issued for PCT/US01/18836 on July 20, 2001, for a corresponding PCT application was submitted to the U.S. Patent and Trademark Office in an Information Disclosure Statement in parent application 09/761,188. The references cited on the

Information Disclosure Statement

Divisional of 09/761,188

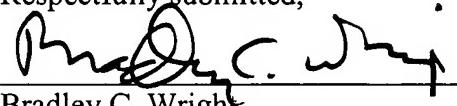
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International Search Report were noted: U.S. Patent Nos.: 6,055,531; 6,049,799; 5,933,822; 6,026,388; and 6,076,051.

The present Information Disclosure Statement is being filed concurrently with the filing of the above-identified divisional application. It is believed no fee is due for the filing of this Information Disclosure Statement. However, the Commissioner is hereby authorized to charge Deposit Account No. 19-0733 for any necessary fees required or an overpayment of fees made, the Commissioner is hereby authorized to debit or credit our Deposit Account No. 19-0733, as necessary.

Respectfully submitted,



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Bradley C. Wright

Reg. No. 38,061

Dated: December 1, 2003

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Sheet 1 of 5

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## **U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		WO 0049517 A	08-24-2000			
		EP 0413132 A	02-20-1991			

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Application Number	TBD
Filing Date	Concurrently herewith
First Named Inventor	Caudill et al.
Group Art Unit	TBD
Examiner Name	TBD

Attorney Docket Number 000479.00114

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Koller, D., and Sahami, M. Hierarchically classifying documents using very few words. ICML-97: Proceedings of the Fourteenth International Conference on Machine Learning, 1997	
		Susan T. Dumais, John Platt, David Heckerman, Mehran Sahami: Inductive Learning Algorithms and Representations for Text Categorization. CIKM pp. 148-155, 1998	
		Andrew McCallum, Kamal Nigam, Jason Rennie and Kristie Seymore. Building Domain-Specific Search Engines with Machine Learning Techniques. AAAI-99 Spring Symposium, 1999	
		M. Sahami, S. Dumais, D. Heckerman, and E. Horvitz. A Bayesian approach to filtering junk e-mail. AAAI Workshop on Learning for Text Categorization, July 1998, Madison, Wisconsin	
		Larkey, Leah S. (1999) A Patent Search and Classification System In Digital Libraries 99 - The Fourth ACM Conference on Digital Libraries (Berkeley, CA, Aug. 11-14 1999) ACM Press, pp. 79-87	
		Teuvo Kohonen, <i>Self Organization and Associative memory</i> , 3rd Edition, Table of Contents, Springer-Verlag, New York, NY 1989.	
		DUNJA MLADINIC, Turning Yahoo into an Automatic Web-Page Classifier, ECAI 98: 13 <sup>th</sup> European Conference on Artificial Intelligence, Brighton, UK, August 23-28, 1998, 473-474, John Wiley & Sons, Ltd.	

Examiner Signature	Date Considered
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Group Art Unit	TBD
Examiner Name	TBD

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		US- 6,055,531	04/25/2000	Bennett et al.	
		US- 6,049,799	04/11/2000	Mangat et al.	
		US- 6,026,388	02/15/2000	Liddy et al.	
		US- 6,076,051	06/13/2000	Messerly et al.	
		US- 5,933,822	08/03/1999	Braden-Harder et al.	
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		US- 6,233,575	05/15/2001	Agrawal et al.	
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		US- 5,237,502	08/17/1993	White et al.	
		US- 5,761,389	06/02/1998	Maeda et al.	
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		US 5,960,384	09/28/1999	Brash	
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		US- 5,386,556	01/31/1995	Hedin et al.	

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		Tom M. Mitchell, "Machine Learning", WCB/McGraw-Hill 1997.		
		Choon Yang Quek, "Classification of World Wide Web Documents", Senior Honors Thesis, CMU.		
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		Magerman, David and Carl Weir. 1992. "Efficiency, Robustness, and Accuracy in Picky Chart Parsing." Proceedings of the 30 <sup>th</sup> Annual Meeting of the Association for Computational Linguistics, pp. 40-47.		
		Manning, Christopher and Hinrich Schutze. 1999. Foundations of Statistical Natural Language Processing. Cambridge, MA: MIT Press.		
		McCallum, A., K. Nigam, S. Thrun, and T. Mitchell. 1998. "Learning to Classify Text from Labeled and Unlabeled Documents." Proceedings of the 1998 National Conference on Artificial Intelligence, July 1998.		
		McCallum, A., R. Rosenfeld, T. Mitchell and A. Ng. 1998. "Improving Text Classification by Shrinkage in a Hierarchy of Classes," Proceedings of the 1998 International Conference on Machine Learning.		
		Pollard, Carl and Ivan Sag. 1994. Head-Driven Phrase Structure Grammar. Chicago, IL: University of Chicago Press.		
		Dirk van Eylen, "Ranking of search results using AltaVista", <a href="http://ping4.ping.be/~ping0658/avrank.html">http://ping4.ping.be/~ping0658/avrank.html</a>		
		Avrim Blum, Tom Mitchell, "Combining Labeled and Unlabeled Data with Co-Training", Proceedings of the 1998 conference on Computational Learning Theory.		
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		US- 5,309,359	05/03/1994	Katz et al.	
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		US- 5,974,455	10/26/1999	Monier	
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		US- 5,687,384	11/11/1997	Nagase	
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		US- 5,418,948	05/23/1995	Turtle	
		US-			

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